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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : BRESLOW, Stuart Lee et al.
Serial No. : 09/476,448 Examiner: RUDY, Andrew J.
Filed: : December 30, 1999 Group Art Unit: 3627
Title : **ON-LINE TRADING SYSTEM**

December 18, 2002

Commissioner for Patents
Washington, D.C. 20231

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**PRELIMINARY AMENDMENT AND
RESPONSE TO SEPTEMBER 30, 2002 OFFICE ACTION**

Please cancel claims 3, 7-8, 13, 22, 24-25, and 40 without admission and without prejudice. Please rewrite claims 1, 6, 9, 10, 14, 15, 23, 26, 34 and 39 as follows. Marked-up copies of the rewritten claims are attached pursuant to 37 CFR 1.121(c).

In the Claims:

1. (Amended) An on-line trading system utilizing a computer network, comprising:
- a client computer provided with a web browser for connecting to the computer network;
 - a brokerage interface operative to allow a client to execute a sale or purchase of financial products and services when connected to the client computer over the computer network;